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ABSTRACT

This document consists of three separately-published booklets all concerned with criteria for accreditation of educational institutions in New Zealand: (1) "Guidelines and Criteria for Registration of Private Training Establishments"; (2) "Guidelines and Criteria for Obtaining Ministerial Approval of Government Training Establishments"; (3) "Guidelines and Criteria for Accreditation to Offer National Certificates and National Diplomas." The first learning units and qualifications registered on the National Qualifications Framework, including requirements for unit and group accreditation, suggestions for the preparation of unit and group accreditation applications, general accreditation, and the conditions surrounding accreditation. A glossary and forms that may be used to apply for unit and group accreditation are included. The second booklet describes procedures for obtaining ministerial approval of government training establishments, including requirements and criteria, application and assessment procedures, and the conditions surrounding approval. Appendices provide an application form, a glossary, and a list of fees and charges. The third booklet, which describes procedures for registering as a provider of private training, explains in an introductory section that the public process resulting in that registration will ensure that the units and qualifications have been endorsed by those who use, grant credit towards, or provide recognition of them. Other sections in the booklet describe registration requirements and criteria, application and evaluation procedures, and the conditions surrounding registration. The appendices provide forms that certify the provider's financial management and that trustees of the provider are responsible for student fees. An application for membership, a glossary, and a list of fees and charges are also included. (CML)

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QUALITY ASSURANCE IN EDUCATION AND TRAINING

New Zealand Qualifications Authority
Wellington

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Quality Assurance

in Education and

Training

Guidelines and Criteria for Registration of Private Training Establishments

NEW ZEALAND QUALIFICATIONS AUTHORITY
Mana Tohu Matauranga o Aotearoa

The aim of the New Zealand Qualifications Authority is to coordinate an accessible and flexible qualifications system which meets New Zealand's needs and internationally recognised standards.

The Authority's main functions are to:

- coordinate all qualifications in post-compulsory education and training (from upper secondary to degree level) so they have a purpose and relationship to one another that the public and students can understand
- set and regularly review standards as they relate to qualifications
- ensure New Zealand qualifications are recognised overseas and overseas qualifications are recognised in New Zealand
- administer national examinations, both secondary and tertiary

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May 1992

USING THIS BOOKLET

This booklet describes procedures for the registration of private training establishments.

Further information:

Other quality assurance processes carried out by the Qualifications Authority including the registration of units of learning and qualifications and accreditation, are detailed in other publications.

The New Zealand Qualifications Authority has offices in Auckland, Wellington and Christchurch.

Ubix Centre

79 Taranaki St

Box 160

WELLINGTON

Tel: 04 385-0459

Fax: 04 385-4929

38 Whitaker Place

Box 8775 Symonds St

Symonds St

AUCKLAND

Tel: 09 302-7686

Fax: 09 302-3241

Landsborough House

Cnr Durham and Gloucester Sts

Box 3290

CHRISTCHURCH

Tel: 03 772-045

Fax: 03 772-048

1 GENERAL INTRODUCTION

Registration of private training establishments is one process used by the Qualifications Authority to ensure the quality of New Zealand education and training.

Registration confirms that the establishment can provide a sound learning environment for the courses it intends to offer.

Registration requires a base-line of information about an establishment, its standards, its policies and its procedures. Against this the on-going performance and development of the establishment can be monitored, both through internal quality assurance and through external quality monitoring by the Authority.

In order to become registered, the establishment has to define clear standards, and policies and procedures that enable these to be met. The information provided constitutes a contract between the establishment and the Qualifications Authority on behalf of students concerning the range and quality of services to be provided.

Publicity material produced by the establishment must be consistent with its defined standards: potential clients should be able to read it with confidence.

Private training establishments must be registered by the Qualifications Authority before they can be accredited to offer units registered by the Authority. The Education Amendment Act 1990 requires such registration as a pre-requisite to receiving government funding.

Registration by the Qualifications Authority endorses the effectiveness of a private training establishment in two key areas of Quality Management:

- **Organisational Management**

This ensures the stability of the establishment and the fairness of its relationships with students.

- **Educational Management**

This ensures that staff understand educational quality management and that the establishment has policies and procedures to carry it out effectively.

2 REGISTRATION REQUIREMENTS AND CRITERIA

To obtain registration, the governing body of a private training establishment must provide the New Zealand Qualifications Authority with the information asked for in this section. Please use the form of application set out in Appendix 3 and supply information in the order shown on the form.

It should be noted that registration applies to the private training establishment as a whole. The information requested will relate to all courses and other activities of the establishment, whether or not these require approval by the Qualifications Authority.

INFORMATION REQUIRED ON ORGANISATIONAL MANAGEMENT

1 Name of the Establishment

The name of the establishment must not mislead as to its nature.

It must not include the protected terms *university, college of education* or *polytechnic* unless the consent of the Qualifications Authority has been gained. Guidelines on the use of these terms are available from the Qualifications Authority.

2 Legal Status of the Establishment

A registered private training establishment and/or its governing body is required by law to be a body corporate.

It may be:

- a company;
- an incorporated society;
- a charitable trust; or
- a statutory corporation.

Provide a current Certificate of Incorporation or Registration in the current name of the body corporate.

If the establishment is a company, provide a copy of the most recent Annual Return filed with the Registrar of Companies, along with a certificate as to any change in capital structure, shareholding, directors or secretary that may have taken place since that Return was filed.

If the establishment is a statutory corporation, provide a copy of the legislation under which it was established, or an extract from this legislation, showing clearly the title and date of the legislation.

3 Purpose and Goals

Provide a written statement approved by the governing body which sets out the purpose and general goals of the establishment.

The purpose and goals must relate primarily to education and/or training.

The purpose or mission statement should be a brief summary of the on-going purpose of the establishment.

A statement of goals should follow. It should be consistent with the mission statement. Goals will include probable future developments for the establishment, particularly those that relate to courses offered in the future.

Include a declaration by the governing body that it has studied any legislation of particular relevance to its activities (eg. Health and Safety, Immigration) and that to the best of its knowledge, the establishment's activities comply with any requirements in this legislation.

4 Ownership and Organisational Structure

Provide details of ownership and/or management and staffing structures.

This should include:

- ownership - full names of owners and their respective holdings;
- management - position titles, roles, full names and qualifications of present position holders;
- teaching staff - number and function;
- non-teaching staff - number and function.

5 Staffing

Provide details of staffing policies and of current staffing.

The establishment must have adequate staff to deliver its courses of study or training.

Details should include:

- policy on staff recruitment;
- teaching staff-student ratios;
- policy on staff development;
- current teaching staff and their teaching responsibilities (include names, relevant qualifications and experience).

At least one person employed by the establishment should have relevant qualifications and experience in each major course or subject area, and be involved in course development and educational management.

6 Premises and Equipment

Include a statement of policies on premises and equipment and details of current premises and equipment.

The establishment must have adequate premises and equipment to provide its courses of study or training.

This section should cover such student learning facilities as libraries.

Information given should include:

a Premises -

i A brief description of existing premises and a statement of the maximum number of students who can be accommodated at the same time in those premises.

Where premises are hired or leased from others, indicate the nature and conditions of the agreement governing the establishment's access to the premises.

ii Minimum standards for any additional temporary premises to be leased from time to time. These standards must take into account the health and safety of students.

b Equipment -

i A statement on how the establishment determines equipment and other resource requirements for courses.

ii A statement on policies for purchasing, leasing, maintenance, renewal and replacement of equipment and learning resources.

7 Legal Status of Premises

In the interests of health and safety of students, it is important that the premises used by the establishment meet local body requirements.

Provide a statement from the local authority that the permanent premises meet all relevant local body requirements.

This should include reference to an inspection of the premises. Evidence of planning approval alone is not adequate. If the local authority does not carry out inspections of premises, this should be noted in the statement from the local authority.

If the local authority requires any changes, provide evidence that these have been made or that they are scheduled to be completed within a reasonable timeframe.

8 Financial Management

The Qualifications Authority has to ensure that the establishment has acceptable financial management practices and performance or, if the establishment is not already operational, that its practices and performance are likely to be acceptable.

Provide a signed statement from a chartered accountant, who holds a current practising certificate issued by the New Zealand Society of Accountants, confirming that the chartered accountant (or the chartered accountant's firm):

a has audited the financial statements of the establishment made up to a date not more than 6 months earlier than the date of the statement, or

b **has conducted a Review Engagement on the financial statements of the establishment made up to a date not more than 6 months earlier than the date of the statement, such Review Engagement having been conducted in terms of the Society of Accountants' standards,**

and that arising from that audit or review, the accountant has not become aware of any matters of concern relating to the establishment's financial management practices and performance likely to affect its obligations under the Education Act 1989.

The statement will also report on the underlying soundness of the financial structure of the establishment and of its planned operations from a financial stand-point.

In the case of a new establishment, the chartered accountant should report on the soundness of financial projections prepared by the establishment for the period covered by the forthcoming 12 months.

In the event that the chartered accountant becomes aware of matters of concern, and the establishment wishes to indicate its plans to remedy such matters, a special report may be prepared which details the matters of concern to the chartered accountant and comments thereon from the establishment. Further comment from the chartered accountant may be included.

A statement format is provided in Appendix 1.

9 Dealings with Students

a Rules and Regulations

Include a copy of documentation provided to students listing any rules or regulations that apply to students enroled in the establishment.

Indicate procedures used to implement the rules and regulations.

b Welfare and Student Support

Include a statement of policies on student welfare and support.

Identify any on-site or contracted counselling or other support services that are provided for students.

c Fees Information

Include any fees information statements that are distributed to students.

Where an establishment does not charge students directly for the cost of tuition or other expenses, a statement indicating this should be provided, along with a clear statement as to how such costs and expenses are actually to be met.

Printed material made available to prospective students must give full details of:

i the total fees for each course including fees for class materials, equipment, books and other items provided to the students;

ii the class or lecture materials, books, equipment, tools or other items that they may be required to purchase;

The fees statement should cover all courses offered by the establishment, not only those which are approved and accredited by the New Zealand Qualifications Authority.

The fees information statement must be complete, clear and unambiguous.

The statement should also cover:

i costs of equipment, books or activities that are optional but recommended;

ii any other costs (eg. registration, examinations, transport, visits, etc).

Where only course fees are specified, the information should include a statement that there are no further fees or costs apart from routine personal costs such as stationery, lunches etc.

d Withdrawal and Refund Policies and Procedures

Include a statement on withdrawal and refund procedures in the form in which it accompanies all fees and enrolment documentation given to students.

Legislation requires that every private training establishment shall:

"(c) Allow every student enroled for a course of study or training (being a course of 3 months or more) to withdraw from it at any time within 7 days after the first day of the course for which attendance of students at the establishment is required; and

(d) Refund to every student who so withdraws, without deduction, so much of any payment, or of the sum of any payments, made by the student to the establishment in respect of that course, and, if withdrawal from that course also constitutes withdrawal from the establishment as a whole, in respect of enrolment at the establishment, as exceeds $500 or 10 percent of the amount of that payment or of the sum of those payments, whichever is the lesser." (Education Amendment Act (No 4) 1991 Section 27).

NOTE: The refund requirement in clause (d) encompasses all monies paid to an establishment in respect of enrolment or participation in a course or enrolment at the establishment, including any registration fees, etc. It includes payment for any activities which are an integral component of the course or are a required aspect of enrolment at the establishment. Payments made for accommodation, for instance, are only included under this policy if the accommodation is a compulsory aspect of enrolment. This might be the case for live-in seminars but would not necessarily be so for optional home-stay accommodation arrangements.

The establishment's published policy must comply with the legislation. This will cover any change in a student's circumstances before the course begins (such as the non-issue of a student visa to a foreign student) or within the first seven days of the course.

The statement should also cover the establishment's policies in the case of withdrawal following the first seven days of the course and withdrawal of a student enroled in a course at an inappropriate level where this does not become apparent until after the first seven days of the course.

Where an establishment does not charge students directly for the cost of tuition or other expenses, the fees information statement indicating this should be referred to.

Any other conditions relating to refunds should be specified.

The procedures for withdrawal and claiming of refunds should be specified.

e *Fees Protection*

Every establishment intending to enrol students in courses of three months or more and to accept payment from the student in respect of enrolment or participation in the course, is required to establish a trust account for holding students' fees (with the exception of 10% of the payment or $500, whichever is the lesser), until seven days after the course begins. The trustee of this account is required to be an independent person approved by the Qualifications Authority.

NOTE: This will <u>not</u> be necessary for establishments which:

do not charge students directly for enrolment or tuition; or

defer receipt of students fees until after the eighth day following commencement of the course; or

accept students enrolment and tuition fees in instalments and prior to the eighth day of the course require only a payment of less than 10% of the total fee or $500 whichever is the lesser.

Provide a statement signed by the manager of the establishment and by a representative of the governing body that students' fees will be held in trust in compliance with Section 236A of the Education Act 1989 as amended by the Education Amendment Act (No 4) 1991 and indicating the name and position of the proposed independent trustee.

Provide a statement from the proposed independent trustee confirming that students' fees are to be held in trust in compliance with legislation and giving details of how this will be organised.

NOTE: The Authority will accept for this purpose a trust account established and operated by a solicitor or a chartered accountant in public practice. The Authority will approve as trustee a solicitor or chartered accountant nominated by the establishment who has signed the memorandum of undertaking prepared by the Authority. This memorandum is provided at the end of this booklet.

A trust account may be established for a single establishment or for a group of establishments.

An establishment or group of establishments may wish to set up an alternative arrangement involving a trustee who is neither a solicitor nor a chartered accountant. Before approving this, the Authority must be provided with evidence that appropriate safeguards for students' fees will exist.

A student's fees must be held in the trust account until seven days after the first day of the course for which the student's attendance is required or, if the student withdraws within that period, until that student's withdrawal has been processed and the student has been granted a refund of fees. This is, however only a brief summary of a trustee's obligations. The attention of prospective trustees is drawn to Section 236A(2) of the Education Act 1989.

f Complaints Procedures

Include details of procedures for dealing with complaints from students or other interested parties.

The establishment must provide all students with details of external bodies with whom complaints may be lodged if the internal procedures do not result in a satisfactory resolution of concerns.

This information should be included in material given to all students on enrolment.

g Disciplinary Procedures

Include details of the establishment's procedures for ensuring that students comply with establishment and course rules and regulations.

10 **Prospectus/Publicity Material**

Include a copy of the establishment's prospectus and/or any advertising brochures.

The publicity material should reflect accurately those aspects of the establishment, its environment and courses which it describes. It should not mislead students by omitting any significant information.

The publicity material should be consistent with all information provided for registration and with any current unit registration and accreditation applications.

Where material has been published and changes are found to be necessary, the Qualifications Authority officer processing the application will discuss with the establishment how this can be achieved within an acceptable timeframe.

INFORMATION REQUIRED ON EDUCATIONAL MANAGEMENT

The Education Amendment Act 1990 requires that courses provided by private training establishments achieve an acceptable standard of instruction. The standard of a course is determined broadly in two ways: an evaluation of the establishment's capacity to deliver that standard, and an evaluation of the actual outcomes of delivery. The first of these two ways of determining the standard is included within the process of registration of private training establishments.

To this end, private training establishments should provide the following information on quality policies and practices:

1 Quality Polices

Describe the establishment's quality policies or intentions and how they are determined.

These policies should define the establishment's quality standards.

They should include reference to the following:

- teachers' qualifications and experience;
- teaching methods (eg: distance learning; self-paced learning);
- teaching materials and resources;
- assessment and reporting practices;
- moderation of assessment;
- record keeping;
- course evaluation;
- students' access to staff;
- monitoring and evaluating teacher performance;
- staff development.

When information on these quality standards has been given elsewhere in the application, it should be referred to again in this statement and cross-referenced.

2 Quality Assurance and Quality Control

Describe the practices the establishment intends to use to implement its quality policies.

This should include reference to structures, responsibilities, procedures, processes and resources.

3 Evaluation

Describe the on-going evaluation that the establishment currently uses or intends to use to ensure that quality is maintained, and that there is on-going improvement of both policies and practices of the overall quality management system.

Effective evaluation will include the participation of all interested parties including students and professional bodies.

3 APPLICATION AND EVALUATION PROCEDURES

APPLICATIONS

1 **Applicants must fill out the application form and supply one complete set of the information listed on that form.**

Explanations of these requirements are to be found in the relevant sections of this booklet. Further information may be obtained through seminars and workshops conducted by the Qualifications Authority or through the Qualifications Authority's consultancy services.

2 **All applications, accompanied by the relevant fee should be sent to:**

The Manager Quality Systems
New Zealand Qualifications Authority
PO Box 160
WELLINGTON

3 **On receipt of an application, documentation and fee, a Qualifications Authority officer will analyse and evaluate the application.**

The application will be evaluated for its clarity, consistency, fairness and probable effectiveness.

The Qualifications Authority does not wish to constrain innovative or alternative developments in the private training establishment sector. Individual establishments may use different ways of providing evidence that they meet the Qualifications Authority's criteria. As long as the criteria are clearly met, officers will be flexible as to the documentation they will accept.

4 **The officer will contact the establishment to report on the evaluation.**

If changes or further information are required the applicant will be asked to provide these. If the application appears to be complete, the officer will make arrangements to visit the establishment.

5 **Before registration is granted, the applicant will be asked to compile a copy of the application document incorporating any changes negotiated or additional material supplied during the process.**

This will be kept for official reference.

Registration will not be granted until the final document is submitted.

Should extra copies of application documents be required, the applicant will be asked to provide these.

6 **Registration will be granted once the Qualifications Authority is satisfied that all criteria have been met.**

Registration allows private training establishments to state that they are:

"Registered as a private training establishment by the New Zealand Qualifications Authority under the Education Act 1989 and its subsequent amendments."

and/or:

"He mea rehita na te Mana Tohu Matauranga o Aotearoa kia tu hei Wahi Whakangungu Motuhake i raro i te maru o te Ture Matauranga 1989 me ona menemana.".

These statements may not be varied for advertising or other purposes without the consent of the Qualifications Authority.

A registered private training establishment must not use the logo of the Qualifications Authority in its publicity material.

FEES AND CHARGES

The fees and charges for Qualifications Authority evaluation processes must be met in full by the private training establishment. See Appendix 5 for details.

OVERSEAS LISTINGS

At the request of a registered private training establishment, the Qualifications Authority will lodge the establishment's name and the units or courses which it is accredited to offer with the New Zealand Immigration Service and the Ministry of External Relations and Trade to be forwarded to New Zealand embassies and consulates overseas. Accreditation and unit registration or course approval is a pre-requisite for the issue of student visas to foreign students enroling in these courses.

4 ADDITIONAL INFORMATION

REGISTRATION OF MULTI-SITE ESTABLISHMENTS

Many private training establishments operate from multiple sites.

A private training establishment will be considered a single establishment with multiple sites if:

- a single management structure operationally embraces all sites;
- one of the sites is clearly designated as the "Head Office" or "Main Campus";
- accounting and finances are centrally controlled ;
- central records are maintained;
- students enroling at each site know they are enroling in part of a multiple site establishment;
- the name of the private training establishment as used at each site is the same;
- all advertising and information, including letterhead paper, indicates the multiple site nature of the operation by including reference to the Head Office;
- student certification follows a common format;
- students and others know where and how to contact the central decision makers.

A Qualifications Authority officer will visit each site that is to be used on a permanent basis by the private training establishment.

Visits to additional sites may be deferred by the Qualifications Authority officer until an accreditation visit or other suitable time if the registration officer has enough information about the additional site to be satisfied as to its standard.

The Qualifications Authority officer may not require a visit to premises which are to be leased from time to time for short courses, but will require a policy statement on the standard of these.

NOTE: A visit to premises which are on a short term lease may be required for accreditation.

Costs involved in visiting more than one site will be recoverable from the establishment and will be required before registration is confirmed.

NOTIFICATION OF CHANGES

From time to time changes will take place in a private training establishment. For instance, teachers will leave and be replaced.

The Qualifications Authority believes that private training establishments should be free to make these changes as long as they are consistent with policies stated in applications for private training establishment registration, unit registration, course approval and/or accreditation: eg.. teacher replacement should be consistent with the private training establishment's staff recruitment and standards of instruction policies.

These changes will be monitored through ongoing quality audit and through the establishment's annual report to the Qualifications Authority.

Occasionally, more significant changes will occur and these must be notified to the Qualifications Authority in writing within two weeks of their occurrence. These include:

1 Change of ownership and control

Any changes in the constitution or ownership of the body corporate or in its directors or secretary must be advised in writing at the time they occur.

Where there has been a significant change in ownership, or in those who direct or control an establishment, the Authority may seek an assurance from the new person or persons concerned that they continue to support the purpose and goals as stated in the registration application.

Advice of a change of ownership must be accompanied by a statement from a chartered accountant confirming that the establishment's financial management practices and performance continue to be acceptable.

2 Change of senior management

3 Major change of staffing

4 Change of premises

The private training establishment must provide a local authority approval letter (based on an inspection) and a revised Premises statement. A visit may be necessary.

5 Change of policies

If the body corporate wishes to change the policies included in the Fees Information statement or the Withdrawals and Refunds statement, the changes should be discussed with the Qualifications Authority before being made.

A charge may be made for Qualifications Authority work involved in processing this information. If a substantial change in policies and practices is indicated, it may be necessary to re-apply for registration and submit new application documents.

CHANGES TO REGISTRATION REQUIREMENTS

Establishments will be advised of any changes to registration requirements if these are determined by Government or by the Board of the Qualifications Authority. Establishments will be given a reasonable time-frame in which to meet these new requirements.

ANNUAL RE-REGISTRATION REPORT AND FEE

Two months before the annual renewal date for registration, the establishment will receive notification from the Authority. The establishment should respond within one month by sending its annual registration fee and a report consisting of

- a summary of its activities over the last year;
- a chartered accountant's statement that the establishment's financial management practices and performance continue to be acceptable as reported in the chartered accountant's statement provided with the initial application for registration;
- any changes to documents provided in the initial registration process; and
- evidence that the establishment has met any new or changed requirements which have been advised during the year.

The Annual Report will be evaluated by a Qualifications Authority officer. At the first re-registration of an establishment, the officer will generally visit the establishment and meet with a representative of the Governing Body and the Manager to review the establishment's activities over the period of registration and to discuss the materials submitted. The officer may ask to meet with teachers or students.

Visits will in general only be required at the first and then every fifth anniversary of the initial registration. Other visits may be made for quality monitoring purposes.

MONITORING

The Qualifications Authority has responsibility for ensuring that standards are maintained. It will carry this out through a variety of monitoring techniques. These will include the receipt and investigation of complaints, monitoring of the media and planned or random visits.

While advance warning of a visit to an establishment will not always be possible, this will normally be given if any documentation is required. In all visits, officers will make every effort to ensure that there is minimum disruption to classes.

COMPLAINTS

From time to time the Qualifications Authority may receive complaints about a private training establishment. In the first instance, complainants will be advised to take up their complaints directly with the management of the establishment.

When complaints suggest that an establishment may not be complying with information provided in its applications for private training establishment registration, unit registration or accreditation, the complaint will be referred, if possible, to the Qualifications Authority officer involved in processing the

application. The establishment will be approached by that officer and asked to explain in writing:

a whether or not there is any mis-match between approved and actual practices;

b whether the complaint is accurate and what steps, if any, the establishment is taking to remedy the situation.

If the officer is satisfied with the response from the establishment, a reasonable time will be given to the establishment for it to present proof of the satisfactory completion of any remedial action.

If the officer is not satisfied with the response, a review of the establishment's status may take place. The establishment will be advised in writing and a date set for the review.

If any complaint involves issues which can only be resolved through legal and judicial processes, the Qualifications Authority will generally await the outcome of these processes before considering any further action.

Following resolution of any issues, the complainant will be advised of the outcome.

DE-REGISTRATION

The Education Amendment Act 1990 defines the procedures to be followed if the Authority considers it to be necessary to de-register a private training establishment.

5 CONDITIONS OF REGISTRATION

1 Details of all applications received by the New Zealand Qualifications Authority are treated as confidential.

2 The New Zealand Qualifications Authority reserves the right to seek advice in confidence from appropriate sources concerning any application.

3 The New Zealand Qualifications Authority regularly publishes lists of registered private training establishments and the approved courses they are accredited to offer.

4 Private training establishment registration, unit registration, course approval and accreditation of any private training establishment by the New Zealand Qualifications Authority does not constitute any form of guarantee by the Qualifications Authority or the New Zealand Government as to the activities or operations of that establishment. The Qualifications Authority and the New Zealand Government undertake no commitment in respect of financial or other claims against a private training establishment by a student or any other body.

5 A registered private training establishment may not use the logo of the New Zealand Qualifications Authority in its publicity material.

6 All care has been taken in preparing these guidelines. They are however no substitute for establishments considering current legislation and obtaining legal advice if necessary. No liability will be recognised by the Authority in the event that any of the recommendations provided in the guidelines are found not to be justified by the current statutory regime.

7 This document may be subject to amendment from time to time by the Qualifications Authority.

APPENDIX 1

FINANCIAL MANAGEMENT - CHARTERED ACCOUNTANT'S STATEMENT

The chartered accountant making the statement regarding the financial management practices and performance of a private training establishment should sign this form and return it to the establishment for inclusion with its application to the New Zealand Qualifications Authority for registration.

In the event that the chartered accountant becomes aware of matters of concern and the establishment wishes to indicate its plans to remedy such matters, a special report may be prepared which details the matters of concern to the chartered accountant and the comments thereon from the establishment. Further comment from the chartered accountant may be included.

TO: The New Zealand Qualifications Authority

1 I am:

i a chartered accountant in sole public practice **or**

ii a partner in the chartered accountant firm of

_____

_____

2 I hold a current certificate of public practice from the New Zealand Society of Accountants.

3 a I (or my firm) have audited the accounts/conducted a Review Engagement (delete one) on the financial statements of

_____

made up to a date not more than 6 months earlier than the date of the statement, and based on my enquiries and the information provided to me, I have not become aware of any matters of concern relating to the establishment's financial management practices and performance likely to affect its obligations under the Education Act 1989.

or

b _____

is a newly established entity and has not yet prepared financial statements. I have examined its planned systems and procedures and its financial projections for the next 12 months. In my opinion, based on my enquiries and the explanations given to me, the establishment's practices and performance are likely to enable the establishment to meet its obligations under the Education Act 1989.

4 In forming the opinions contained in this statement, I have had access to the information required to be provided to the New Zealand Qualifications Authority by the establishment and I have considered the financial implications of the statements of purpose and goals, and details of staffing, premises, fees and charges, withdrawal and refund policies and policies relating to the holding of students' fees in trust.

5 I am aware of the conditions specified in the Education Amendment Act (No 4) 1991 (Section 27) for the handling of student fees, for the holding of such fees in trust and for their disbursement from the trust account.

6 I am aware of the conditions for withdrawal and refund of fees in the published policy statements of the establishment as included in its application for registration.

7 I can confirm that the establishment is complying with the requirements of the Education Amendment Act (No 4) 1991 (Section 27) regarding the depositing of students' fees in a trust account until 7 days after the first day of their course in the case of courses of three months or longer.

8 In my opinion, based on my enquiries and the explanations given to me:

a the establishment's financial planning and projections are soundly based as regards its obligations under the Education Act 1989

b the establishment is likely to be able to undertake and complete its programme of education-related activities

c the establishment is likely to be able to make any refunds necessary under its refund policy statement

DATE: _____

FULL NAME: _____

NAME OF FIRM (IF APPLICABLE): _____

_____

BUSINESS ADDRESS: _____

_____

TELEPHONE NO: _____ FACSIMILE NO: _____

SIGNATURE: _____

APPENDIX 2

STUDENT FEES TRUST ACCOUNTS – TRUSTEE MEMORANDUM OF UNDERTAKING

NB: This form is to be used only if the proposed Trustee is a solicitor or a chartered accountant. The Trustee should delete phrases or sections which do not apply.

Establishments wishing to use other forms of trust account or a Trustee other than a solicitor or a chartered accountant should contact the Qualifications Authority to discuss the appropriate form of documentation to be provided.

The proposed trustee for the student fees to be received by a registered private training establishment should sign this memorandum of undertaking and return it to the New Zealand Qualifications Authority (PO Box 160, Wellington) either directly or through the establishment.

TO: The New Zealand Qualifications Authority

1 I am:

a a sole legal practitioner; or

b a partner in the law firm of ; _____ or

c a chartered accountant in sole public practice;

d a partner in the chartered accountant firm of _____

_____

2 I am the holder of a current practising certificate issued by the High Court of New Zealand. I know of no reason why that certificate may be subject to revocation.

or

I hold a current practising certificate issued by the New Zealand Society of Accountants. I know of no reason why that certificate may be subject to revocation. [Delete one]

3 I agree to act as trustee for student fees and any other amounts received by

_____ [insert name],

a private training establishment.

4 I have no direct financial interest in the establishment.

5 I undertake to be directly answerable to you for the proper disbursement of all such student fees and other amounts, strictly in accordance with section 236A of the Education Act 1989.

6 I acknowledge that I have read and understand the provisions of that section.

7 The fees and other amounts to be held in trust will be placed on deposit, in my name/the name of my firm [Delete one], as follows:

a Name of trading bank: _____

b Location of branch of bank: _____

c Account number: _____

8 Such account will be operated in accordance and subject to the Law Practitioners Act 1982, the Solicitors Audit Regulations 1987 and the Solicitors Trust Account Rules 1969.

or

Such account will be operated in accordance and subject to the ethical provisions for control of clients monies and trust accounts contained in Sections EP32 - EP41 of the Code of Ethics of the New Zealand Society of Accountants. [Delete one]

9 I undertake not to pay or transfer the fees and other amounts held in this account to any person or to any other account unless:

a the payment or transfer is strictly in accordance with Section 236A of the Education Act 1989; or

b you have given written authority to do so.

10 If I have indicated (in paragraph 1 above) that I am a partner in a firm, then I acknowledge that, by signing this document, I bind the firm as a whole.

DATE: _____

FULL NAME: _____

NAME OF FIRM (IF APPLICABLE): _____

_____

BUSINESS ADDRESS: _____

_____

TELEPHONE NO: _____ FACSIMILE NO: _____

SIGNATURE: _____ SIGNATURE OF WITNESS: _____

NAME OF WITNESS: _____

ADDRESS OF WITNESS: _____

_____

OCCUPATION OF WITNESS: _____

APPENDIX 3

NEW ZEALAND QUALIFICATIONS AUTHORITY

■ **REGISTRATION**

APPLICATION FOR REGISTRATION AS A PRIVATE TRAINING ESTABLISHMENT

Please return this application form with the application fee and all required documentation to:

The Manager Quality Systems
New Zealand Qualifications Authority
Mana Tohu Matauranga o Aotearoa
Box 160, Wellington.

PRINT CLEARLY OR TYPE.

NAME OF ESTABLISHMENT: _____

STREET ADDRESS OF ESTABLISHMENT: _____

_____

TELEPHONE NO: _____ FACSIMILE NO: _____

POSTAL ADDRESS (IF DIFFERENT): _____

_____

TITLE OF BODY CORPORATE: _____

ADDRESS (IF DIFFERENT): _____

NAME OF MANAGER: _____

NAME AND STATUS OF CONTACT PERSON (IF DIFFERENT): _____

STREET ADDRESSES OF ANY ADDITIONAL TEACHING PREMISES: _____

_____

Do you wish brief details of your establishment and the approved courses which it is accredited to offer to be listed with New Zealand embassies and consulates overseas?

Yes/No

Please attach the following documents and arrange your documentation as follows:

Certificate of incorporation _____

Annual return to the Registrar of Companies _____

Written statement of purpose and goals _____

Declaration of compliance with legislation _____

Management and staffing structures _____

Staffing policies and current staffing _____

Premises and equipment policies _____

Local authority statement on premises _____

Financial management statement _____

Rules and regulations _____

Welfare and student support services _____

Fees information _____

Withdrawal and refund policies and procedures _____

Fees protection – manager's statement _____

Student fees trustee memorandum of understanding _____

Complaints procedures _____

Disciplinary procedures _____

Prospectus/Publicity material _____

Quality policies _____

Quality management practices _____

Quality management system evaluation _____

BODY CORPORATE SIGNATORY: _____

STATUS OF SIGNATORY: _____

DATE OF SIGNATURE: _____

APPENDIX 4

GLOSSARY

- ACCREDITATION (of providers) - a process for ensuring that providers have the capacity, including management of quality, to deliver unit standards.
  - FIELD ACCREDITATION - accreditation of a provider to offer any number of units in a specified field of learning up to a specified level.
  - GENERAL PROVIDER ACCREDITATION - accreditation of a provider to offer all units in the National Qualifications Framework up to level 7.
  - UNIT ACCREDITATION - accreditation of a provider to offer a specific unit or units.
- ASSESSMENT - a process of collecting and interpreting evidence of competence or achievement.
- MODERATION OF ASSESSMENT - a process for ensuring the consistency of assessment with the required standard.
- PERFORMANCE CRITERIA - statements of competence or achievement against which the attainment of outcomes is measured.
- STANDARDS-BASED ASSESSMENT - assessment which is measured against unit standards.
- CERTIFICATION - documentary evidence that a qualification has been awarded.
- COURSE - a group of units offered by a provider. See also PROGRAMME
- COURSE APPROVAL (1992 ONLY) - a process for ensuring that the outcomes and assessment standards of a nationally recognised course outside the Framework conform with Authority criteria.
- CREDIT (as applied to a unit standard) - a value assigned to a unit standard which reflects the relative time and effort required to achieve its outcomes.
- DATABASE OF STUDENT RECORDS - a database which contains details of units and qualifications completed by individuals.
- LEVELS - the eight levels of the framework are defined in terms of progressive stages of competence/achievement and complexity.
- MONITORING - a process ensuring that a provider is achieving the outcomes of the units and qualifications for which it has been accredited; includes MODERATION.
- NATIONAL QUALIFICATIONS FRAMEWORK - collectively, all nationally registered qualifications and the nationally registered unit standards from which they are derived. Implicit is a defined and logical relationship between them.
- NATIONAL STANDARDS BODIES - represent all major user groups connected with a field (for example, health sciences) and have responsibility for the development, evaluation and endorsement of all units and qualifications in that field.

- **Programme** - a group of courses undertaken by an individual.
- **Provider** - an individual or organisation providing education or training.
- **Qualification** - a combination of unit standards which, when certificated, completes the *education and training* pre-requisite agreed by national standards bodies to be appropriate for entry to an occupation, or to a course at a higher level.
- **Quality audit** - a process for ensuring the effective performance of a provider's overall systems for the management of quality; a function of the Authority.
- **Quality management** - a process and structure implemented by a provider for ensuring that standards required by the Authority and national standards bodies are met; a pre-requisite for accreditation.
- **Registration of PRIVATE TRAINING ESTABLISHMENTS** - a process for ensuring that basic educational and consumer safeguards are in place.
- **Recognition of Prior learning** - a process of awarding credits for outcomes which are not certificated in terms of the National Qualifications Framework and may have been completed outside formal education and training.
- **Credit accumulation and transfer** - a process of transferring credits between courses which lead to a nationally registered qualification.
- **Registration of units and qualifications** - a process for ensuring that units and qualifications have been evaluated and endorsed by national standards bodies as representing an exclusive national standard, and so registered with the Authority.
- **Unit** - a unit of learning has two parts:
  - nationally evaluated and endorsed unit standards registered on the Authority's unit standard database
  - delivery details developed by a provider for teaching purposes.
  - **Element** - that part of a unit standard which defines one of its outcomes.
  - **Outcomes** - the collection of elements which must be demonstrated for successful achievement of a unit.
  - **Unit delivery** - details of proposed teaching and learning approaches, context and content, resources, and range and number of assessments, which are required by the Authority for course approval and accreditation.
  - **Unit standards** - registered outcome statements (elements) and assessment criteria.
- **User Group** - all those who derive direct or indirect benefit from a qualification and its component units; generally includes students, qualified individuals, professional associations and employers who may be represented, along with providers, in national standards body.

APPENDIX 5

NEW ZEALAND QUALIFICATIONS AUTHORITY
QUALITY SYSTEMS DIVISION

■ **FEES AND CHARGES** (As at May 1992 - subject to any amendment)

Registration as a private training establishment

A Initial registration

Initial process (incl. 8 hrs case work)	$900 (inclusive of GST)
Additional time	$100/hour (exclusive of GST)
Costs *(Travel and Accommodation for visits)*	Recoverable at cost

B Annual re-registration fee

As for **A**	$337.50 (inclusive of GST)
Costs *(Travel and accommodation)*	Recoverable at cost

NEW ZEALAND QUALIFICATIONS AUTHORITY

Mana Tohu Matauranga o Aotearoa

U-Bix Centre, 79 Taranaki Street, PO Box 160, Wellington, New Zealand

Phone: 04 -3850-459, Fax 04-3854-929

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Quality Assurance

In Education and

Training

Guidelines and Criteria for Obtaining Ministerial Approval of Government Training Establishments

NEW ZEALAND QUALIFICATIONS AUTHORITY
Mana Tohu Matauranga o Aotearoa

BEST COPY AVAILABLE

The New Zealand Qualifications Authority will promote improvement in the quality of education and training in New Zealand through the development and maintenance of a comprehensive, accessible and flexible National Qualifications Framework.

The Authority's main functions are to:

- co-ordinate all qualifications in post-compulsory education and training (from upper secondary to degree level) so they have a purpose and relationship to one another that the public and students can understand;
- set and regularly review standards as they relate to qualifications;
- ensure New Zealand qualifications are recognised overseas and overseas qualifications are recognised in New Zealand;
- administer national examinations, both secondary and tertiary.

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November 1992

USING THIS BOOKLET

This booklet describes procedures for obtaining Ministerial approval of government training establishments (GTEs).

Except in circumstances resulting from changes in legislation or other unforeseen events, all policy and procedures published in this document will remain in force and unchanged until 31 December 1993.

Further Information

Other quality assurance processes carried out by the Qualifications Authority including the registration of private training establishments, registration of unit standards and qualifications, and accreditation, are detailed in other publications.

The New Zealand Qualifications Authority has an office in Wellington and regional outposts in Auckland and Christchurch.

U-Bix Centre

79 Taranaki St

Box 160

WELLINGTON

Tel: 04 385-0459

Fax: 04 385-4929

38 Whitaker Place

Box 8775

Symonds St

AUCKLAND

Tel: 09 302-7686

Fax: 09 302-3241

Landsborough House

Cnr Durham and Gloucester Sts

Box 3290

CHRISTCHURCH

Tel: 03 377-2045

Fax: 03 377-2048

1 INTRODUCTION

A government training establishment is one part of a Department (within the meaning of the State Sector Act 1988) or a Crown Agency (within the meaning of the Public Finance Act 1989) which has as its prime purpose the administration and provision of training.

Ministerial approval of government training establishments is one process used to ensure the quality of New Zealand education and training.

Approval confirms that the establishment can provide a sound learning environment for the courses it intends to offer. Such approval requires a favourable recommendation to the Minister of Education by the New Zealand Qualifications Authority. Approval is granted on the understanding that the Qualifications Authority will monitor and audit the education and training provided by the establishment and will inform the Minister if the requirements for approval are no longer being met.

The recommendation process requires an establishment to define clearly its standards, and the policies and procedures that enable these to be met. Against this the on-going performance and development of the establishment can be monitored, both through internal quality assurance and through external quality monitoring by the Qualifications Authority. The information provided constitutes a contract between the establishment and the Qualifications Authority as the agent of the Minister on behalf of learners concerning the range and quality of services to be provided.

Publicity material produced by the establishment must be consistent with its defined standards: it must not contain misleading information and potential learners must be able to read it with confidence.

Government training establishments must be approved by the Minister before they can offer courses approved and accredited by the New Zealand Qualifications Authority, or units and qualifications registered on the National Qualifications Framework.

Approval by the Minister endorses the effectiveness of a establishment in two key areas of Quality Management:

- **Organisational Management**

This ensures the stability of the establishment and the fairness of its relationships with learners.

- **Educational Management**

This ensures that staff understand and have a commitment to educational quality management and that the establishment has policies and procedures to carry it out effectively.

2 REQUIREMENTS AND CRITERIA FOR MINISTERIAL APPROVAL

To obtain Ministerial approval, the Chief Executive Officer (CEO) or a delegated officer of a government training establishment must provide the New Zealand Qualifications Authority with the information asked for in this section. (Please use the form of application set out in Appendix 1 and supply information in the order shown on the form.)

An approved government training establishment is required to be a Crown Agency or a Department or an education and/or training section established under the authority of a Crown Agency or Department.

It should be noted that approval applies to the establishment as a whole. The information requested will relate to all courses and other education or training activities of the establishment, whether or not these require approval by the Qualifications Authority.

INFORMATION REQUIRED ON ORGANISATIONAL MANAGEMENT

1 Name of the Establishment

It must not include the protected terms *university, college of education* or *polytechnic* unless the consent of the Qualifications Authority has been gained. Guidelines on the use of these terms are available from the Qualifications Authority.

2 Legal Status of the Establishment

An approved government training establishment is required to be *a Crown Agency* (within the meaning of the Public Finance Act 1989) *or Department* (within the meaning of the State Sector Act 1988) [s29, Education Amendment Act (No 4) 1991] or an education and/or training section established under the authority of a *Crown Agency* or *Department*.

3 Purpose and Goals

Provide a written statement approved by the CEO or a delegated officer which sets out the purpose and general goals of the training establishment.

The purpose and goals must relate primarily to education and/or training.

The purpose or mission statement should be a brief summary of the on-going purpose of the establishment.

A statement of goals should follow. It should be consistent with the mission statement. Goals will include probable future developments for the establishment, particularly those that relate to courses offered in the future.

Include a declaration by the CEO or a delegated officer that he/she has studied any legislation of particular relevance to its activities (e.g. Health and Safety, Immigration) and that to the best of its knowledge, the establishment's activities comply with any requirements in this legislation.

4 Staffing

Provide details of staffing policies and of current staffing.

The training establishment must have adequate staff to deliver its courses of study or training.

Details should include:

- the establishment's management structure;
- policy on staff recruitment, including qualifications and/or experience;
- current teaching staff and their teaching responsibilities.

At least one person employed by the establishment should have relevant qualifications and experience in each major course or subject area, and be involved in course review and development and educational management.

5 Premises and Equipment

Include a statement of policies on premises and equipment and details of current premises and equipment.

The training establishment must have adequate premises and equipment to provide its courses of study or training.

This section should cover such learner learning facilities as libraries.

Information given should include:

a *Premises*

i A brief description of existing premises and a statement of the maximum number of learners who can be accommodated at the same time in those premises.

Where premises are hired or leased from others, as required for on-job, work-based or practical experience, for example, indicate the nature and conditions of the agreement governing the establishment's access to the premises.

ii Minimum standards for any additional temporary premises to be leased from time to time. These standards must take into account the health and safety of learners.

b Equipment

i A statement on how the establishment determines equipment and other resource requirements for courses.

6 Legal Status of Premises

In the interests of health and safety of learners, it is important that the premises used by the training establishment meet local body requirements.

Provide a statement from the local authority and the New Zealand Fire Service that the permanent premises meet all relevant local body and fire safety requirements.

This should include reference to an inspection of the premises. Evidence of planning approval alone is not adequate. If the local authority does not carry out inspections of premises, this should be noted in the statement from the local authority.

If the local authority or Fire Service requires any changes, provide evidence that these have been made or that they are scheduled to be completed within a reasonable timeframe.

7 Dealings with Learners

a *Rules and Regulations*

Include a copy of documentation provided to learners listing any rules or regulations that apply to learners enroled in the establishment.

Indicate procedures used to implement the rules and regulations.

b *Welfare and Learner Support*

Include a statement of policies on learner welfare and support.

Identify any on-site or contracted counselling or other support services that are provided for learners.

c *Fees Information*

Include any fees information statements that are distributed to learners.

Where an establishment does not charge learners directly for the cost

of tuition or other expenses, a statement indicating this should be provided, along with a clear statement as to how such costs and expenses are actually to be met.

Printed material made available to prospective learners must give full details of:

i the total fees for each course including fees for class materials, equipment, books and other items provided to the learners;

ii the class or lecture materials, books, equipment, tools or other items that they may be required to purchase;

The fees statement should cover all courses offered by the establishment, not only those which are approved and accredited by the New Zealand Qualifications Authority.

The fees information statement must be complete, clear and unambiguous.

The statement should also cover:

i costs of equipment, books or activities that are optional but recommended;

ii any other costs (eg registration, examinations, transport, visits, etc).

Where only course fees are specified, the information should include a statement that there are no further fees or costs apart from routine personal costs such as stationery, lunches etc.

d *Withdrawal and Refund Policies and Procedures*

Include a statement on withdrawal and refund procedures in the form in which it accompanies all fees and enrolment documentation given to learners.

It is a Qualifications Authority requirement that every government training establishment shall:

- allow every learner enroled for a course of study or training (being a course of 3 months or more) to withdraw from it at any time within 7 days after the first day of the course for which attendance of learners at the establishment is required; and
- refund to every learner who so withdraws, without deduction, so much of any payment, or of the sum of any payments, made by the learner to the establishment in respect of that course, and, if withdrawal from that course also constitutes withdrawal from the establishment as a whole, in respect of enrolment at the establishment, as exceeds $500 or 10 percent of the amount of that payment or of the sum of those payments, whichever is the lesser.

NOTE: The refund requirement encompasses all monies paid to an establishment in respect of enrolment or participation in a course or enrolment at the establishment, including any registration fees, etc. It includes payment for any activities which are an integral component of the course or are a required aspect of enrolment at the establishment. Payments made for accommodation, for instance, are only included under this policy if the accommodation is a compulsory aspect of enrolment. This might be the case for live-in seminars but would not necessarily be so for optional home-stay accommodation arrangements.

The training establishment's published policy must comply with NZQA requirements. This will cover any change of learner's circumstances before the course begins (such as the non-issue of a learner visa to a foreign learner) or within the first seven days of the course.

The statement should also cover the training establishment's policies in the case of withdrawal following the first seven days of the course and withdrawal of a learner enroled in a course at an inappropriate level where this does not become apparent until after the first seven days of the course.

Where an establishment does not charge learners directly for the cost of tuition or other expenses, the fees information statement indicating this should be referred to.

Any other conditions relating to refunds should be specified.

The procedures for withdrawal and claiming of refunds should be specified.

e *Fees Protection*

Any training establishment intending to enrol learners in courses of three months or more and to accept payment from the learner in respect of enrolment or participation in the course, is required to guarantee a refund of fees, with the exception of 10% of the payment or $500, whichever is the lesser, until seven days after the course begins.

NOTE: This will <u>not</u> be necessary for establishments which:

- do not charge learners directly for enrolment or tuition; or
- defer receipt of learners fees until after the eighth day following commencement of the course;
- have direct contractual arrangements with employers for the provision of education and training; or
- accept learners enrolment and tuition fees in instalments and prior to the eighth day of the course require only a payment of less than 10% of the total fee or $500, whichever is the lesser.

Provide a statement signed by the Chief Executive Officer of the Department or Crown Agency which guarantees that learners' fees will be refunded in accordance with section (d) above.

f *Complaints Procedures*

Include details of procedures for dealing with complaints from learners or other interested parties.

The establishment must provide all learners with details of external persons and/or bodies with whom complaints may be lodged if the internal procedures do not result in a satisfactory resolution of concerns.

This information should be included in material given to all learners on enrolment.

Where complaints procedures form part of the employment contract, these will be considered to subsume the above.

g *Prospectus/Publicity Material*

Include a copy of the training establishment's prospectus and/or any advertising brochures.

The publicity material should reflect accurately those aspects of the training establishment, its environment and courses which it describes. It should not mislead learners by omitting any significant information.

The publicity material should be consistent with all information provided for registration, with any current course approval applications and/or with any current course, unit or qualification accreditation applications.

Where material has been published and changes are found to be necessary, the Qualifications Authority officer processing the application will discuss with the establishment how this can be achieved within an acceptable timeframe.

INFORMATION REQUIRED ON EDUCATIONAL MANAGEMENT

The Education Amendment Act (No 4) 1991 requires that courses provided by training establishments achieve an acceptable standard of instruction. The standard of a course is determined broadly in two ways: through evaluations of the establishment's capacity to deliver that standard, and of the actual outcomes of delivery. The first of these two ways of determining the standard

is included within the process of approval of establishments.

To this end, establishments should provide the following information on quality policies and practices:

1 Quality Policies

Describe the establishment's quality policies or intentions and how they are determined.

These policies should define the establishment's quality standards.

They should include reference to the following:

- required competency levels for teaching staff;
- teaching methods (e.g.: distance learning; self-paced learning);
- teaching materials and resources;
- assessment and reporting practices;
- moderation of assessment;
- record keeping;
- course evaluation;
- learners' access to staff;
- monitoring, appraising and evaluating teacher performance;
- staff development (includes work-based staff).

When information on these quality standards has been given elsewhere in the application, it should be referred to again in this statement and cross-referenced.

2 Quality Assurance and Quality Control

Describe the practices the establishment intends to use to implement its quality policies.

This should include reference to structures, responsibilities, procedures, processes, resources and monitoring.

3 Evaluation

Describe the on-going evaluation that the establishment currently uses or intends to use to ensure that quality is maintained, and that there is on-going improvement of both policies and practices of the overall quality management system.

Effective evaluation will include the participation of all interested parties including learners and professional bodies

3 APPLICATION AND EVALUATION PROCEDURES

APPLICATIONS

1 **Applicants must fill out the application form and supply one complete set of the information listed on that form.**

Explanations of these requirements are to be found in the relevant sections of this booklet. Further information may be obtained through seminars and workshops conducted by the Qualifications Authority or through the Qualifications Authority's consultancy services.

2 **All applications, accompanied by the relevant fee, should be sent to:**

The Manager Quality Systems

New Zealand Qualifications Authority

Box 160

WELLINGTON

3 **On receipt of an application, documentation and fee, a Qualifications Authority officer will analyse and evaluate the application.**

The Qualifications Authority does not wish to constrain innovative or alternative developments in the government training sector. Individual training establishments may use different ways of providing evidence showing that they meet the Qualifications Authority's criteria. As long as the criteria are clearly met, officers will be flexible as to the documentation they will accept.

4 **The officer will contact the training establishment to report on the evaluation.**

If changes or further information are required the applicant will be asked to provide these. If the application appears to be complete, the officer will make arrangements to visit the establishment.

5 **Before Ministerial approval is recommended, the applicant will be asked to compile a copy of the application document incorporating any changes negotiated or additional material supplied during the process.**

This will be kept for official reference.

Ministerial approval will not be recommended until the final document is submitted.

6 **Ministerial approval will be recommended once the Qualifications Authority is satisfied that all criteria have been met.**

Ministerial approval allows government training establishments to state that they are:

Approved by the Minister of Education on the recommendation of the New Zealand Qualifications Authority as a government training establishment under the Education Act 1989 and its subsequent amendments.

and/or:

Kua whakaaetia e te Minita mo Nga Take Matauranga i runga i te whakahau a te Mana Tohu Matauranga, kia tu hei Wahi Whakangungu Motuhake mo te Kawanatanga. I tukua tenei mana i raro i te maru o te Ture Matauranga 1989 me ona menemana.

These statements may not be varied for advertising or other purposes without the consent of the Qualifications Authority.

An approved establishment must not use the logo of the Qualifications Authority in its publicity material.

FEES AND CHARGES

The fees and charges for Qualifications Authority evaluation processes must be met in full by the establishment. See Appendix 3 for details.

OVERSEAS LISTINGS

At the request of an approved establishment, the Qualifications Authority will lodge the establishment's name and the units or courses which it is accredited to offer with the New Zealand Immigration Service and the Ministry of External Relations and Trade to be forwarded to New Zealand embassies and consulates overseas. Accreditation and unit approval or course approval is a pre-requisite for the issue of learner visas to foreign learners enroling in these courses.

4 ADDITIONAL INFORMATION

APPROVAL OF MULTI-SITE ESTABLISHMENTS

Many government training establishments operate from multiple sites.

In determining whether an establishment will be considered a single establishment with multiple sites, the Qualifications Authority will be guided by the following principles:

- all sites are accountable to a single management body;
- there is a clearly designated *Head Office* or *Main Campus*;
- records are accessible to the central management body;
- learners enroling at each site know they are enroling in part of a multiple site establishment;
- the name of the site includes the generic name of the establishment;
- all advertising and information, including letterhead paper, indicates the multiple site nature of the operation;
- learner certification follows a common format;
- learners and others know where and how to contact the central decision makers.

It is acknowledge that government training establishments will vary considerably in their management and operational structures. This will be taken into account when negotiating the exact nature of multi-site approvals.

NOTIFICATION OF CHANGES

From time to time changes will take place in an establishment. For instance, teachers will leave and be replaced.

The Qualifications Authority believes that establishments should be free to make these changes as long as they are consistent with policies stated in applications for establishment approval, unit registration, course approval and/or accreditation: e.g. teacher replacement should be consistent with the establishment's staff recruitment and standards of instruction policies.

CHANGES TO APPROVAL REQUIREMENTS

Establishments will be advised of any changes to approval requirements if these are determined by Government or by the Board of the Qualifications Authority. Establishments will be given a reasonable time-frame in which to meet these new requirements.

ANNUAL RE-APPROVAL REPORT AND FEE

Two months before the annual renewal date for Ministerial approval, the establishment will receive notification from the Qualifications Authority. The establishment should respond within one month by sending its annual approval fee and a report consisting of:

- a summary of its activities over the last year;
- any changes to documents provided in the initial approval process;

  and

- evidence that the establishment has met any new or changed requirements which have been advised during the year.

The Annual Report will be evaluated by a Qualifications Authority officer. At the first re-approval of an establishment, the officer will generally visit the establishment and meet with a representative of the CEO to review the establishment's activities over the period of Ministerial approval and to discuss the materials submitted. The officer may ask to meet with teachers or learners.

Visits will in general only be required at the first and then every fifth anniversary of the initial Ministerial approval. Other visits may be made for quality monitoring purposes.

MONITORING

The Qualifications Authority has responsibility for ensuring that standards are maintained. It will carry this out through a variety of monitoring techniques. These will include the receipt and investigation of complaints, monitoring of the media and planned or random visits.

While advance warning of a visit to an establishment will not always be possible, this will normally be given if any documentation is required. In all visits, officers will make every effort to ensure that there is minimum disruption to classes.

COMPLAINTS

From time to time the Qualifications Authority may receive complaints about an establishment. In the first instance, complainants will be advised to take up their complaints directly with the management of the training establishment.

When complaints suggest that an establishment may not be complying with information provided in its applications for approval, unit registration or, accreditation, the complaint will be referred, if possible, to the Qualifications Authority officer involved in processing the application. The establishment will be approached by that officer and asked to explain in writing:

a whether or not there is any mis-match between approved and actual practices;

b whether the complaint is accurate and what steps, if any, the establishment is taking to remedy the situation.

If the officer is satisfied with the response from the establishment, a reasonable time will be given to the establishment for it to present proof of the satisfactory completion of any remedial action.

If the officer is not satisfied with the response, a review of the establishment's status may take place. The establishment will be advised in writing and a date set for the review.

If any complaint involves issues which can only be resolved through legal and judicial processes, the Qualifications Authority will generally await the outcome of these processes before considering any further action.

Following resolution of any issues, the complainant will be advised of the outcome.

WITHDRAWAL OF APPROVAL

If, at any time, the Qualifications Authority considers that an approved government training establishment no longer meets the requirements for approval, the Qualifications Authority will give written notice to the Minister and to the CEO of the establishment, stating:

- that the Authority considers the establishment may not meet the requirements;
- stating its reasons; and
- giving the establishment a reasonable period in which to respond.

If, after that period and having considered any response made by the establishment, the Qualifications Authority is not satisfied that the establishment meets the requirements, the Qualifications Authority shall recommend to the Minister that s/he withdraw approval.

5 CONDITIONS OF MINISTERIAL APPROVAL

1. Details of all applications received by the New Zealand Qualifications Authority are treated as confidential.
2. The New Zealand Qualifications Authority reserves the right to seek advice in confidence from appropriate sources concerning any application.
3. The New Zealand Qualifications Authority regularly publishes lists of approved establishments and the units or courses they are accredited to offer.
4. Government training establishment approval, unit registration, course approval and accreditation of any establishment by the New Zealand Qualifications Authority does not constitute any form of guarantee by the Qualifications Authority or the New Zealand Government as to the activities or operations of that establishment. The Qualifications Authority and the New Zealand Government undertake no commitment in respect of financial or other claims against an establishment by a learner or any other body.
5. An approved establishment may not use the logo of the New Zealand Qualifications Authority in its publicity material.
6. All care has been taken in preparing these guidelines. They are however no substitute for establishments considering current legislation and obtaining legal advice if necessary. No liability will be recognised by the Qualifications Authority in the event that any of the recommendations provided in the guidelines are found not to be justified by the current statutory regime.
7. This document may be subject to amendment from time to time by the Qualifications Authority.

APPENDIX 1

NEW ZEALAND QUALIFICATIONS AUTHORITY

APPLICATION FORM FOR MINISTERIAL APPROVAL AS A GOVERNMENT TRAINING ESTABLISHMENT

Please return this application form with the deposit and all required documentation to:

The Manager Quality Systems

New Zealand Qualifications Authority

Mana Tohu Matauranga o Aotearoa

Box 160

WELLINGTON.

PRINT CLEARLY OR TYPE.

NAME OF ESTABLISHMENT: _____

_____

STREET ADDRESS OF ESTABLISHMENT: _____

_____

TELEPHONE: _____ FAX: _____

POSTAL ADDRESS (IF DIFFERENT): _____

_____

TITLE OF MINISTRY, DEPARTMENT OR CROWN AGENCY: _____

_____

ADDRESS (IF DIFFERENT): _____

_____

NAME OF CEO OR A
DELEGATED OFFICER: _____

NAME AND STATUS OF CONTACT
PERSON (IF DIFFERENT): _____

STREET AND POSTAL ADDRESSES OF ANY ADDITIONAL TEACHING PREMISES:

_____

_____

PHONE AND FAX NUMBERS OF
ANY ADDITIONAL TEACHING PREMISES: _____

Do you wish brief details of your establishment and the approved courses which it is accredited to offer to be listed with New Zealand Embassies and Consulates overseas?

YES/NO

Please attach the following documents and arrange your documentation as follows:

- Written statement of purpose and goals _____
- Declaration of compliance with legislation _____
- Management and staffing structures _____
- Staffing policies and current staffing _____
- Premises and equipment policies _____
- Local body and Fire Service clearance _____
- Rules and regulations _____
- Welfare and learner support services _____
- Fees information _____
- Complaints procedures _____
- Prospectus/Publicity material _____
- Quality policies _____
- Quality management practices _____
- Quality management system evaluation

SIGNATURE OF CEO OR A DELEGATED OFFICER _____

DATE OF SIGNATURE _____

APPENDIX 2

GLOSSARY

- **ACCREDITATION** (of providers) - a process for ensuring that providers have the capacity, including management of quality, to deliver unit standards.
- **ASSESSMENT** - a process of collecting and interpreting evidence of competence or achievement.
  - ***MODERATION OF ASSESSMENT*** *- a process for ensuring the consistency of assessment with the required standard.*
  - ***PERFORMANCE CRITERIA*** *- statements of competence or achievement against which the attainment of outcomes is measured.*
  - ***STANDARDS-BASED ASSESSMENT*** *- assessment which is measured against unit standards.*
- **CERTIFICATION** - documentary evidence that a qualification has been awarded.
- **CREDIT** (as applied to a unit standard) - a value assigned to a unit standard which reflects the relative time and effort required to complete its outcomes.
- **CREDIT TRANSFER** - a process of transferring credits between courses which lead to a nationally registered qualification.
- **DATABASE OF STUDENT RECORDS** - a database which contains details of units and qualifications completed by individuals.
- **DELIVERY** - teaching and learning approaches, context and content, resources, and range and number of assessments.
- **DOMAIN** - a term describing a specific area of education or training at unit level, defined in the *NZQA Standard Classification for Units and Qualifications*
- **ELEMENT/OUTCOME** - the competencies/achievements which must be demonstrated for successful completion of a unit.
- **FIELD** - a term describing a general area of education or training, corresponding to an *ISCED* field and defined in the *NZQA Standard Classification for Units and Qualifications* (see also **SUB-FIELD** and **DOMAIN**)
  - ***SUB-FIELD*** *- a term describing a specific area of education or training at qualification level, corresponding to an ISCED sub-field and defined in the NZQA Standard Classification for Units and Qualifications*
  - ***DOMAIN*** *- a term describing a specific area of education or training at unit level, defined in the NZQA Standard Classification for Units and Qualifications*

- **General Accreditation** - accreditation of a provider to offer all National Certificate and National Diploma units up to level 7 of the Framework.

- **Group Accreditation** - accreditation of a provider to offer a number of units in a specified field, sub-field or domain up to a specified level.

- **Levels** - the eight levels of the Framework are defined in terms of progressive stages of competence/achievement and complexity in units assigned to them.

- **Moderation of Assessment** - a process for ensuring the consistency of assessment with the required standard.

- **National Qualifications Framework** - collectively, all nationally registered qualifications and the nationally registered unit standards from which they are derived. Implicit is a defined and logical relationship between them.

- **National Standards Bodies** - represent all major user groups connected with a field, sub-field or domain (for example, health sciences) and have responsibility for the development, evaluation and endorsement of all units and qualifications in that category.

- **NZQA Standard Classification for Units and Qualifications** - a document which defines fields, sub-fields and domains, used for naming qualifications and unit standards, and for assistance in defining NSB and ITO fields, sub-fields or domains.

- **Outcome/Element** - the competencies/achievements which must be demonstrated for successful completion of a unit.

- **Performance Criteria** - statements against which the attainment of elements/ outcomes is measured.

- **Provider** - an individual or organisation providing education or training.

- **Qualification** - a combination of unit standards which, when certificated, completes the *educational* prerequisite agreed by national standards bodies to be appropriate for entry to an occupation, or to a course at a higher level.

- **Quality Audit** - a process for ensuring the effective performance of a provider's overall systems for the management of quality; a function of the Authority.

- **Quality Management** - a process and structure implemented by a provider for ensuring that standards required by the Authority and national standards bodies are met; a prerequisite for accreditation.

    - ***Accreditation** (of providers) - a process for ensuring that providers have the capacity, including management of quality, to deliver unit standards.*

        - ***Group Accreditation** - accreditation of a provider to offer any number of units in a specified field, sub-field or domain up to a specified level.*

- *General Accreditation - accreditation of a provider to offer all National Certificate and National Diploma units up to level 7 of the framework.*
- *Unit Accreditation - accreditation of a provider to offer a specific unit or units.*

- *Course Approval (1992 only) - a process for ensuring that the outcomes and assessment standards of a nationally recognised course outside the Framework conform with Authority criteria.*
- *Moderation of Assessment - a process for ensuring the consistency of assessment with the required standard.*
- *Registration of Private Training Establishments - a process for ensuring that basic educational and consumer safeguards are in place.*
- *Registration of Units and Qualifications - a process for ensuring that units and qualifications have been evaluated and endorsed by national standards bodies as representing an exclusive national standard, and so registered with the Authority.*

- **Recognition of Prior Learning** - a process of awarding credits for outcomes which have not been certificated in terms of the National Qualifications Framework and may have been completed outside formal education and training.
  - *Credit Transfer - a process of transferring credits between courses which lead to a nationally registered qualification.*
- **Registration of Private Training Establishments** - a process for ensuring that basic educational and consumer safeguards are in place.
- **Registration of Units and Qualifications** - a process for ensuring that units and qualifications have been evaluated and endorsed by national standards bodies as representing an exclusive national standard, and so registered with the Authority.
- **Standards** - nationally registered statements of education and training outcomes and their associated performance criteria. See also Unit.
- **Standards-based Assessment** - assessment which is measured against unit standards.
- **Sub-field** - a term describing a specific area of education or training at qualification level, corresponding to an ISCED sub-field and defined in the NZQA Standard Classification for Units and Qualifications
- **Unit** - a unit has two parts:
  - *nationally evaluated and endorsed unit standards registered on the Authority's unit standard database*
  - *delivery details developed by a provider for teaching purposes.*

- ***Delivery** - teaching and learning approaches, context and content, resources, and range and number of assessments.*
- ***Element/Outcome** - the competencies/achievements which must be demonstrated for successful completion of a unit.*
- ***Unit Standards** - nationally registered element/outcome statements and performance criteria, and administrative information.*

- **Unit Accreditation** - accreditation of a provider to offer a specific unit or units.
- **Unit Standards** - nationally registered element/outcome statements and performance criteria, and administrative information.
- **User Group** - all those who derive direct or indirect benefit from a qualification and its component units; generally includes students, qualified individuals, professional associations and employers who may be represented, along with providers, in a national standards body.

APPENDIX 3

QUALITY SYSTEMS DIVISION

FEES AND CHARGES

Ministerial approval as a government training establishment

A Initial approval

Initial process (incl. 8 hrs case work)	$900 (inc GST)
Additional time	$100/hour (exc GST)
Costs *(Travel and Accommodation for visits)*	Recoverable at cost

B Annual re-approval

Fee	$300 (exc GST)
Additional time	$100/hour (exc GST)
Costs *(Travel and accommodation)*	Recoverable at cost

NEW ZEALAND QUALIFICATIONS AUTHORITY
Mana Tohu Matauranga o Aotearoa

U-Bix Centre, 79 Taranaki Street, Box 160, Wellington, New Zealand
Phone: 04-385-0459, Fax 04-385-4929

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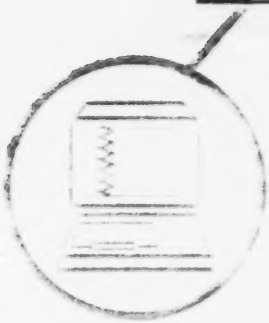
Quality Assurance

In Education and

Training

Guidelines and Criteria for Accreditation to offer National Certificates and National Diplomas



NEW ZEALAND QUALIFICATIONS AUTHORITY
Mana Tohu Matauranga o Aotearoa

BEST COPY AVAILABLE

The aim of the New Zealand Qualifications Authority is to co-ordinate an accessible and flexible qualifications system which meets New Zealand's needs and internationally recognised standards.

The Authority's main functions are to:

- co-ordinate all qualifications in post-compulsory education and training (from upper secondary to degree level) so they have a purpose and relationship to one another that the public and students can understand;
- set and regularly review standards as they relate to qualifications;
- ensure New Zealand qualifications are recognised overseas and overseas qualifications are recognised in New Zealand;
- administer national examinations, both secondary and tertiary.

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Except in circumstances resulting from changes in legislation or other unforeseen events, all policy and procedures published in this document will remain in force and unchanged until 31 December 1993.

November 1992

PARTNERSHIP

The Qualifications Authority recognises that integral to its operations, both internal and external, is the need to be responsive to the aspirations, needs and concerns of the Maori people. The following will therefore be taken into account when implementing the principles and processes contained in this document:

- *honouring the principles of the Treaty of Waitangi through exercising the Authority's power of government reasonably and in good faith, so that the Maori interests specified in the Treaty are actively protected;*

- *eliminating the gaps which exist in relation to the educational, personal, social, cultural and economic well-being of Maori people, and which do not result from individual or cultural preferences;*

- *providing opportunities for Maori people to develop economic activities as a sound base for realising their aspirations, to promote their self-sufficiency and to eliminate attitudes of dependency;*

- *providing for Maori language and culture to receive an equitable allocation of resources and a fair opportunity to develop, having regard to the contribution made by Maori language and culture towards the development of a unique New Zealand identity.*

Particularly important is recognition of the Treaty of Waitangi.

Responsiveness is an issue of equal importance both to the Maori people and other New Zealanders. The Qualifications Authority will operate in a way which ensures that responsiveness is part of everyday operations.

USING THIS BOOKLET

These guidelines cover:

- the accreditation of training providers for units and qualifications registered on the National Qualifications Framework.

Other publications deal with such activities as the Registration of Private Training Establishments, and the Registration of Units and Qualifications.

For Further Information

The New Zealand Qualifications Authority has an office in Wellington and regional outposts in Auckland and Christchurch.

U-Bix Centre

79 Taranaki St

Box 160

WELLINGTON

Tel: 04 385-0459

Fax: 04 385-4929

38 Whitaker Place

Box 8775

Symonds St

AUCKLAND

Tel: 09 302-7686

Fax: 09 302-3241

Landsborough House

Cnr Durham and Gloucester Sts

Box 3290

CHRISTCHURCH

Tel: 03 377-2045

Fax: 03 377-2048

1 INTRODUCTION

THE NATIONAL QUALIFICATIONS FRAMEWORK

The National Qualifications Framework offers an opportunity to enhance the quality of education and training. The Framework will be progressively implemented from 1992 with a target date of 1995 being set for the completion of the implementation.

The quality management system for national qualifications includes:

1 **Registration of Units and Qualifications:**

To ensure that standards are set which are relevant, up to date and acceptable to major user groups.

2 **Registration of Private Training Establishments:**

To ensure basic educational and consumer safeguards are met.

3 **Accreditation of Providers:**

To ensure that providers have the capacity to deliver the Unit Standards.

4 **Ongoing Moderation of Assessment:**

To ensure the consistency of assessment with the required standard.

5 **Audit:**

To ensure the effective performance of overall systems for the management of quality.

NATIONAL STANDARDS BODIES

The Qualifications Authority is responsible under the Education Amendment Act 1990 for establishing a consistent approach to the recognition of qualifications in academic and vocational areas. Within this broad objective it is charged with overseeing the setting of standards, and monitoring and regularly reviewing those standards. It must also ensure that there are mechanisms in place which guarantee that nationally recognised courses have assessment procedures that are fair, equitable, consistent and in keeping with the required standards.

In order to perform these functions, units and qualifications will be registered on the National Qualifications Framework through a public process, requiring the endorsement of National Standards

Bodies. These bodies will be representative of all major users or recognisers of the relevant units and qualifications and will have a central role in development and maintenance of standards in a field, sub-field or domain of the Framework (for definitions of these terms see Section 8). Standards Bodies will be established either by the Qualifications Authority, or as Industry Training Organisations under the provisions of the Industry Training Act 1992.

The public process resulting in registration will ensure that the units and qualifications have been endorsed by those who use, grant credit towards, or provide recognition of them. This requirement will apply to units which are specific to industries and to more general units and qualifications.

National Standards Bodies established through the Qualifications Authority will normally include further education and training providers as users in their own right. Providers are also seen to have a place on Standards Bodies because their expertise in teaching to the standards affords essential feedback for the maintenance and enhancement of those standards. This includes their role in research and scholarship.

The Qualifications Authority considers that providers and users of qualifications should work in partnership to ensure the success of the education and training system. However, it does acknowledge that there are differing responsibilities within that partnership. Whereas providers have the dominant role in the development of curricula based upon standards, it is the users and recognisers of the qualification who have the dominant role in the setting of those standards. When the standards are for an industry then it is appropriate that the standards setting process be industry led. In general education subjects or areas of learning where specific users are not so readily identifiable, then the academic and research community is considered a viable proxy for the public users. Normally, this community will be augmented by industry and professional interests.

It is anticipated that National Standards Bodies will progressively develop the following operational roles. They will:

- analyse skills, knowledge, attitudes and values required for their sector;
- assume responsibility for establishing boundaries and mapping qualifications. They will identify areas of overlap with other National Standards Bodies and establish means of resolving issues that arise. This includes developing common Unit Standards where appropriate;
- undertake systematic analyses of the needs in their sphere of interest, and generate plans which:
  - detail mechanisms for development of units and qualifications;

- set out the number and nature of units and qualifications required;
- indicate areas of priority;
- propose timetables for development;

- oversee the development of Unit Standards in the format required by the Qualifications Authority for registration in the public domain, and undertake sufficient consultation to ensure a wide acceptance of the standards;
- assist in the design, and participate in the operation of, quality management systems in consultation with providers and the Qualifications Authority in order to maintain nationally consistent standards;
- market new qualifications to their sector;
- make arrangements for the regular review of standards and qualifications.

INDUSTRY TRAINING ORGANISATIONS

The Industry Training Act 1992 promotes the establishment of Industry Training Organisations (ITOs). These organisations have a dual role of setting standards for their industry and oversight of the delivery of training to achieve those standards. The Act requires the Board of the Education and Training Support Agency to recognise Industry Training Organisations after consulting the Qualifications Authority. (Industrial Training Act 1992, s6).

The Industry Training Act 1992 requires that ITOs, either alone or acting with other ITOs, be capable of setting skill standards for their industry. Therefore, where an ITO has been established it will be the national Standards Body for those standards specific to its industry which are registered on the Qualifications Framework.

Where core knowledge and skills are shared by more than one ITO or Standards Body, the Standards Bodies and ITOs concerned will together oversee the common standards. In this way any duplication of units will be avoided.

2 ACCREDITATION

This section refers to the accreditation of training providers to offer units and qualifications registered on the National Qualifications Framework.

ACCREDITATION PROCESS

Accreditation involves an evaluation of the capacity of a provider to deliver Unit Standards registered on the National Qualifications Framework. Accreditation is not an evaluation of actual performance.

The actual performance of a provider is evaluated during the monitoring of the outcomes of the course of instruction. This includes the moderation of assessment for ensuring the consistency of assessment with the required standard. Actual performance is also evaluated when re-accreditation takes place.

Accreditation can only be given to the following categories of providers: an institution (college of education, polytechnic, wananga or university), a school, a registered private training establishment or a ministerially-approved government training establishment. These terms have specific definitions within current legislation.

It should be noted that it will be possible for persons to be assessed and credited with units and qualifications which they acquire other than through courses delivered by a provider. This can occur, for example, through assessments carried out by accredited assessors that enable the recognition of prior learning or the assessment of standards in the workplace.

Accreditation is offered for a period of time; normally three to five years. After that time re-accreditation is necessary. Accreditation must normally be completed before any teaching programmes begin.

PROVIDERS MUST BE ACCREDITED

1 before they can offer units registered on the National Qualifications Framework, if it is intended that students will have credit from these lodged in the national database;

2 if they have courses which last for three months or longer in which foreign students are to be enrolled.

Accreditation may also be a requirement for funding or allowances from the Ministry of Education and the Education and Training Support Agency.

ACCREDITATION PROCEDURES

There are a number of options as to who participates in accreditation procedures. Some of these options will be decided at the time of unit registration.

At the point of unit registration, the National Standards Body will decide the *extent to which it wishes to be involved in the overall quality process.*

For example it may choose to be involved in accreditation, but delegate moderation to an agent such as the Qualifications Authority. It may equally choose to be involved only in moderation and not participate in the accreditation carried out by the Qualifications Authority, or its delegated agent. It may choose to be represented by another Standards Body in either or both accreditation and moderation.

The choices made by the National Standards Body will be expected to aim at ensuring quality while minimising accreditation and moderation costs. Because of its legislative responsibilities, the Qualifications Authority (and its delegated agents) retain the power to reject options which have undesirable costs. Accreditation procedures will cover a range of approaches.

In some situations there may be a panel visit to the provider. Membership of a panel may include representation from the National Standards Body, or alternatively a representative from a cluster of Standards Bodies. In some situations, accreditation may be given on the basis of an evaluation of the written documentation that is provided by an applicant. An officer may also undertake verification by an on-site visit.

The choices made by National Standards Bodies will also relate to the *scope of a particular application for accreditation.*

SCOPE OF ACCREDITATION

A provider may wish to seek accreditation for:

- a unit;
- a combination of units;
- a field, sub-field, or domain of the National Qualifications Framework.

Established providers may ultimately seek general accreditation.

UNIT ACCREDITATION

The first and fundamental category of accreditation is ***unit accreditation***. This involves an evaluation of the capacity of a provider to deliver the standards contained within a single unit.

The cost involved in unit by unit accreditation should make this choice comparatively rare. More commonly, units will be accredited in combinations. This is referred to as ***group accreditation***.

GROUP ACCREDITATION: ACCREDITATION FOR A COMBINATION OF UNITS

The next category of accreditation involves an evaluation of the capacity of a provider to deliver the standards contained within a number of named units. This could include accreditation for a full qualification.

Field, sub-field or domain accreditation

Group accreditation is an evaluation of a provider's ability to deliver up to a specified level the standards contained within all units included within a, field sub-field or domain of the National Qualifications Framework database of registered units. This would also include accreditation for units that ***will be registered within that part of the database in the future***. The accreditation process will, therefore, also focus on the applicant's ability to implement policies and procedures that will ensure the quality of delivery in new units being developed.

GENERAL ACCREDITATION

The final category of accreditation is ***general accreditation*** which will recognise a provider's capacity to deliver all National Certificate and Diploma units within the Framework. General provider accreditation will be considered when user group endorsement over all sectors of the framework has been obtained and evidence of quality delivery is capable of being confirmed through the audit process.

3 REQUIREMENTS FOR UNIT AND GROUP ACCREDITATION

Submissions for accreditation should include the following information:

APPLICANT

Name of provider

Contact name

Position

Address Postal

Street

Telephone number

Fax number

DELIVERY SITE/S

Clearly identify the proposed delivery sites with postal and street addresses, telephone and fax numbers.

STATUS OF APPLICANT

Indicate whether the applicant is an individual provider, is part of a consortium of providers or intends to become part of a consortium.

SCOPE OF ACCREDITATION

Clearly identify the unit/s, field/s , sub-field/s or domain/s for which accreditation is being sought.

REQUIREMENTS AND CRITERIA

The Qualifications Authority or its delegated accrediting agent requires sufficient information to enable judgements to be made on the capacity of a provider to deliver the standards contained in the unit/s within the scope of the accreditation.

For the scope of the accreditation there will need to be a coherent quality management system of policies and procedures, with mechanisms for evaluation. The system will cover the following areas and will meet the specified criteria:

1 the development and evaluation of teaching programmes:

There is a system for developing coherent teaching programmes and for their evaluation, which should include evaluation by learners/consumers.

2 financial, administrative and physical resources:

Adequate and appropriate financial and administrative resources will be maintained to enable all necessary activities to be carried out.

Adequate, appropriate and accessible physical resources will be available for supporting students to meet the required standards.

3 staff selection, appraisal and development:

A teaching staff with the necessary knowledge and skills will be maintained through staff selection, appraisal and development.

4 student entry:

There is a system for establishing and clearly publicising student entry requirements that include no unreasonable barriers.

5 student guidance/support systems:

Students have adequate access to appropriate guidance/support systems.

6 off-site practical/work-based components:

There are arrangements for ensuring that any off-site practical/work-based components are fully integrated into the relevant programmes.

7 assessment:

There is a system for ensuring that assessment is fair, valid and consistent.

8 reporting:

There is a system for providing students with fair and regular feedback on progress and fair reporting on final achievements, with an associated appeals procedure.

There is a reliable system for archiving information on final student achievements.

RE-ACCREDITATION

Accreditation is offered for a period of time; normally three to five years. After that time re-accreditation is necessary.

The provider should report on:

- moderation activities carried out during the period of accreditation;
- evaluation activities carried out during the period of accreditation;
- any changes in the provision of the unit/s or in the provider's procedures or facilities which have already been made as a result of the moderation and evaluation activities;
- any further changes which are being considered.

INVESTIGATIONS

During the period of accreditation, the Qualifications Authority may investigate providers where circumstances require it. This will normally be in response to significant complaints, where a provider has responded inadequately to routine enquires.

COSTS

A list of fees and charges for accreditation and re-accreditation may be obtained from the Executive Assistant, Quality Systems Section, New Zealand Qualifications Authority, P O Box 160, Wellington.

4 SUGGESTIONS FOR THE PREPARATION OF APPLICATIONS FOR UNIT AND GROUP ACCREDITATION

The headings that follow may assist in the preparation of an application. The scope of any one application for accreditation will determine the complexity of the quality management system that is put in place. This in turn will determine the amount of detail to include in an application.

The headings are guidelines only. They should not be used as a definitive checklist. They comprise a range of descriptors which an institution or training establishment may wish to consider and include in an application for accreditation.

Additional guidance is provided in the Authority publications titled *Introducing Units* and *Quality Management Systems for Nationally Registered Qualifications.*

1 Development and Evaluation of Teaching Programmes

Applications may wish to include information on:

- delivery intentions - eg: distance, classroom, practical;
- policy/ies on development and evaluation of teaching programmes;
- procedures for selecting units and other programme components;
- procedures for developing programme detail;
- procedures for obtaining feedback;
- procedures for incorporating feedback into programmes;
- responsibilities for programme development and programme evaluation;
- participation of internal personnel - eg: teaching and non-teaching staff, students - in programme development and evaluation;
- participation of external groups - eg: advisory committees, industry, professional associations, Maori community, external moderators - including their participation in monitoring the implementation of the programme;
- resources for development and evaluation of programmes;
- requirements for documentation of programmes;
- mechanisms for evaluation of policy/ies and for evaluation of programme development and programme evaluation procedures.

2 Financial, Administrative and Physical Resources

Applications may wish to include information on:

- policy/ies on financial resources - eg: adequacy;
- policy/ies on administrative resources - eg: adequacy, appropriateness;
- policy/ies on physical resources - eg: types (equipment, library, etc), adequacy, appropriateness, currency, accessibility;
- policy/ies on forward planning of financial, administrative and physical resources;
- mechanisms for evaluating resource policy/ies.

a current resources:

- extent of current financial, administrative and physical resources (only for scope of application for accreditation);
- relationships between these and other resources within the wider provider;
- responsibilities for current financial, administrative and physical resources;
- documentation of current resources;
- mechanisms for evaluating current resources.

b planning:

- procedures for forward planning of financial, administrative and physical resources;
- mechanisms for ensuring that identification of future needs is comprehensive - eg: includes finances for meeting quality requirements (internal evaluation, external moderation, etc);
- responsibilities for resource planning;
- participation of internal personnel in planning activities;
- participation of external groups;
- resources for supporting planning activities;
- requirements for documentation of planning;
- mechanisms for evaluating resource planning procedures.

3 Staff Selection, Appraisal and Development

Applications may wish to include information on:

- policy/ies on staff selection, appraisal and development;
- collective capacity of current staff (only for scope of application for accreditation);
- procedures for determining staffing needs, for staff selection, for staff appraisal and for staff development;
- responsibilities for these;
- resources for these;
- mechanisms for evaluating policies and procedures;
- participation of internal personnel and external groups in development of policies, in procedures and in evaluation of these.

4 Student Entry

Applications may wish to include information on:

- policy/ies on entry requirements/open access;
- policy/ies on credit transfer;
- policy/ies on recognition of prior learning;
- policy/ies on documentation of entry requirements in publicity material;
- procedures;
- evaluation of policy/ies and procedures.

5 Student Guidance/Support Systems

Applications may wish to include information on:

- policy/ies on student guidance/support;
- extent of current programme-related student guidance/support systems, systems within the wider provider and access to external systems;
- evaluation of policy/ies and systems.

6 Off-site Practical/Work-Based Components

Applications may wish to include information on:

- policy/ies on establishing off-site arrangements, on placement of students, on communication and on assessment and reporting procedures;

- responsibilities;
- documentation;
- evaluation of policy/ies and procedures.

7 Assessment

Applications may wish to include information on:

- policies on formative assessment, on summative assessment, on re-assessment, on internal moderation, on participation in external moderation systems;
- procedures;
- responsibilities for off-site practical/work-based components;
- resources;
- documentation;
- evaluation of policies and procedures.

8 Reporting

Applications may wish to include information on:

- policies on formative reporting, on summative reporting, on recording and archiving achievement information;
- procedures;
- responsibilities;
- resources;
- evaluation of policies and procedures.

NOTE: Private Training Establishments:

At the time of Registration as a Private Training Establishment, a private provider is required to document information on its quality management system. These providers should ensure that information provided for accreditation is consistent with that already provided for registration.

In addition, it should be shown that the chartered accountant's statement presented at the time of registration was signed in the knowledge that the provider's development plan included the accreditation application.

5 GENERAL ACCREDITATION

General accreditation is a category of accreditation that enables a provider to deliver all National Certificate and National Diploma units. General accreditation should be seen as the end point of a natural progression built on incremental improvements in quality. General Accreditation, therefore, is the ultimate and natural result of increasing confidence and endorsement on the part of all parties involved in the provider's quality management system.

The Qualifications Authority sees two phases to the achievement of general accreditation.

1 The ***developmental*** phase during which the provider strengthens internal and external quality management systems and external confidence grows.

2 The ***accreditation*** phase during which a provider undertakes a self-study and submits a formal application. This application would be evaluated by a structured panel process.

The application for General Accreditation would require a provider to document its quality management system. An evaluation of the system would focus on such areas as:

1 *OVERVIEW OF THE QUALITY MANAGEMENT SYSTEM*

- quality policies, including policies on:
  - compliance with the National Qualifications Framework;
  - interaction with National Standards Bodies.
- organisational structures, responsibilities, procedures, processes and resources.

2 COVERAGE OF THE QUALITY MANAGEMENT SYSTEM

Programme design and development

- identification and prioritisation of the need for new or revised programmes or components of programmes;
- identification of and meeting the changing needs of learners;
- development of programmes;
- internal approval.

Programme provision

- collection and use of data on provision;
- assurance that provision is free from gender and cultural bias;
- evaluation and review of programmes.

Resources

- financial, administrative and physical resources;
- identification and meeting of resource requirements;
- learning support services.

Teaching and other specialist staff

- staff selection and appraisal;
- professional development and support;
- participation in professional associations;
- research and consultancy.

Learners

- provision of learning and contractual information;
- recognition of prior learning and credit transfer;
- entry, induction and support;
- monitoring learner performance, and remediation and counselling services;

- appeals against exclusion from courses, assessments, decisions, and breaches of contract.

Assessment

- development of assessment instruments;
- formative and summative assessment and re-assessment procedures;
- verification of assessment results;
- reporting on learner achievement;
- recording, certificating and archiving learner achievement by unit and qualification.

Feedback

- external assessment and external moderation;
- participation of students, industry and other user groups, professional associations, government agencies and the community, including appropriate gender and ethnic representation.

Where an evaluation finds user group endorsement over all sectors of the framework; shows that the applicant has robust systems, that all key user groups support and participate in them, and that they feature sound quality practices, the Authority and/or its delegated agents[1] may grant General Accreditation. The Authority and/or its delegated agent would then maintain a quality audit role.

If a quality audit reveals that the local system has weakened, and there is no evidence of a strategy to improve the situation, the General Accreditation would be withdrawn, after a suitable period of notice during which the provider may correct deficiencies.

[1] *As defined in s260 of the Education Act 1989 and its amendments.*

6 ADDITIONAL INFORMATION

APPLICATION

Applicants are to fill out the form and supply the information requested.

One copy of applications for accreditation is required at first. If a panel evaluation is needed, the applicant will be asked to provide further copies.

All applications, accompanied by payment of the relevant initial application fee, should be sent to:

The Manager, Quality Systems

New Zealand Qualifications Authority

Box 160

WELLINGTON

FEES AND CHARGES

The fees and charges for accreditation must be met in full by the applicant.

ADVERTISING

Accreditation must be complete and formal notification received from the Qualifications Authority before a provider can claim accreditation status in publicity material.

CERTIFICATION

The Qualifications Authority will issue a Record of Learning to students on an annual basis from records supplied by accredited providers. A Record of Learning may also be provided by the Qualifications Authority on payment of a fee.

The Qualifications Authority will also issue National Certificates and Diplomas. These may show the name of the National Standards Body and the provider and will be issued on application from the student. National Standards Bodies will negotiate the final format of the certificates with the Qualifications Authority within prescribed standard formats.

For certification details refer to the booklet ***'Guidelines, Criteria and Regulations for the Registration of Units and Qualifications for National Certificates and National Diplomas.'***

OVERSEAS LISTINGS

On request, the Qualifications Authority will lodge the provider's name and the qualifications which it is accredited to offer with the New Zealand Immigration Service and the Ministry of External Relations and Trade. The names will be forwarded to New Zealand embassies and consulates overseas. Accreditation is a pre-requisite for the issue of student visas to foreign students enrolling for these qualifications.

NOTIFICATION OF CHANGES

From time to time providers may make changes in aspects of accreditation. Providers are free to make those changes if they are consistent with policies described on initial application. The changes will be monitored at the time of re-accreditation. A new accreditation application is required for changes not consistent with the original application.

Unit Standards registered on the National Qualifications Framework will be changed only when reviewed and endorsed by a National Standards Body.

RECOGNITION OF PRIOR LEARNING

The Qualifications Authority is committed to the formal recognition of prior learning (RPL). Research and consultation is currently underway to finalise its implementation. Providers will need to include procedures for providing an RPL service to their community in their accreditation documents. Guidelines will be published in March 1993 and it is anticipated that training will be available late in that year. In the interim, recognition of credit for prior learning may be given only to enrolled students for meeting on-course requirements.

7 CONDITIONS

1 Details of all applications received by the New Zealand Qualifications Authority are treated as confidential.

2 The New Zealand Qualifications Authority reserves the right to seek advice in confidence from appropriate sources concerning any application.

3 The New Zealand Qualifications Authority will regularly publish registers of:

- private and government training establishments;
- units;
- nationally registered qualifications;
- accredited institutions, schools, and government and private training establishments.

4 The New Zealand Qualifications Authority will not indemnify any institution, school, government or private training establishment or organisation in respect of financial or any other claims against that institution, school, government or private training establishment or organisation by a student, or any other person or body.

5 The New Zealand Qualifications Authority logo may not be used in any publicity material or on any certificates other than those authorised by the Qualifications Authority.

6 Providers seeking accreditation will undertake to:

- supply records of student results to a national database;
- collect and remit fees associated with a student results database;
- accept appropriately verified credit transfer from other accredited providers;
- progressively establish and implement policies to recognise prior learning;
- adopt approaches which actively address the needs of the learner, with policies for student guidance, assessment and reassessment;
- participate in moderation arrangements established for the units accredited.

8 GLOSSARY

- **Accreditation** (of providers) - a process for ensuring that providers have the capacity, including management of quality, to deliver unit standards.
- **Assessment** - a process of collecting and interpreting evidence of competence or achievement.
  - ***Moderation of assessment*** *- a process for ensuring the consistency of assessment with the required standard.*
  - ***Performance criteria*** *- statements of competence or achievement against which the attainment of outcomes is measured.*
  - ***Standards-based assessment*** *- assessment which is measured against unit standards.*
- **Certification** - documentary evidence that a qualification has been awarded.
- **Credit** (as applied to a unit standard) - a value assigned to a unit standard which reflects the relative time and effort required to complete its outcomes.
- **Credit Transfer** - a process of transferring credits between courses which lead to a nationally registered qualification.
- **Database of Student Records** - a database which contains details of units and qualifications completed by individuals.
- **Delivery** - teaching and learning approaches, context and content, resources, and range and number of assessments.
- **Domain** - a term describing a specific area of education or training at unit level, defined in the *NZQA Standard Classification for Units and Qualifications*
- **Element/Outcome** - the competencies/achievements which must be demonstrated for successful completion of a unit.
- **Field** - a term describing a general area of education or training, corresponding to an *ISCED* field and defined in the *NZQA Standard Classification for Units and Qualifications* (see also **Sub-field** and **Domain**)
  - ***Sub-field*** *- a term describing a specific area of education or training at qualification level, corresponding to an ISCED sub-field and defined in the NZQA Standard Classification for Units and Qualifications*
  - ***Domain*** *- a term describing a specific area of education or training at unit level, defined in the NZQA Standard Classification for Units and Qualifications*

- **General Accreditation** - accreditation of a provider to offer all National Certificate and National Diploma units up to level 7 of the Framework.
- **Group Accreditation** - accreditation of a provider to offer a number of units in a specified field, sub-field or domain up to a specified level.
- **Levels** - the eight levels of the Framework are defined in terms of progressive stages of competence/achievement and complexity in units assigned to them.
- **Moderation of Assessment** - a process for ensuring the consistency of assessment with the required standard.
- **National Qualifications Framework** - collectively, all nationally registered qualifications and the nationally registered unit standards from which they are derived. Implicit is a defined and logical relationship between them.
- **National Standards Bodies** - represent all major user groups connected with a field, sub-field or domain (for example, health sciences) and have responsibility for the development, evaluation and endorsement of all units and qualifications in that category.
- **NZQA Standard Classification for Units and Qualifications** - a document which defines fields, sub-fields and domains, used for naming qualifications and unit standards, and for assistance in defining NSB and ITO fields, sub-fields or domains.
- **Outcome/Element** - the competencies/achievements which must be demonstrated for successful completion of a unit.
- **Performance Criteria** - statements against which the attainment of elements/outcomes is measured.
- **Provider** - an individual or organisation providing education or training.
- **Qualification** - a combination of unit standards which, when certificated, completes the *educational* prerequisite agreed by national standards bodies to be appropriate for entry to an occupation, or to a course at a higher level.
- **Quality Audit** - a process for ensuring the effective performance of a provider's overall systems for the management of quality; a function of the Authority.
- **Quality Management** - a process and structure implemented by a provider for ensuring that standards required by the Authority and national standards bodies are met; a prerequisite for accreditation.
    - *Accreditation (of providers) - a process for ensuring that providers have the capacity, including management of quality, to deliver unit standards.*
        - *Group Accreditation - accreditation of a provider to offer any number of units in a specified field, sub-field or domain up to a specified level.*

- *General Accreditation - accreditation of a provider to offer all National Certificate and National Diploma units up to level 7 of the framework.*

- *Unit Accreditation - accreditation of a provider to offer a specific unit or units.*

- *Course Approval (1992 only) - a process for ensuring that the outcomes and assessment standards of a nationally recognised course outside the Framework conform with Authority criteria.*

- *Moderation of Assessment - a process for ensuring the consistency of assessment with the required standard.*

- *Registration of Private Training Establishments - a process for ensuring that basic educational and consumer safeguards are in place.*

- *Registration of Units and Qualifications - a process for ensuring that units and qualifications have been evaluated and endorsed by national standards bodies as representing an exclusive national standard, and so registered with the Authority.*

- Recognition of Prior Learning - a process of awarding credits for outcomes which have not been certificated in terms of the National Qualifications Framework and may have been completed outside formal education and training.

  - *Credit Transfer - a process of transferring credits between courses which lead to a nationally registered qualification.*

- Registration of Private Training Establishments - a process for ensuring that basic educational and consumer safeguards are in place.

- Registration of Units and Qualifications - a process for ensuring that units and qualifications have been evaluated and endorsed by national standards bodies as representing an exclusive national standard, and so registered with the Authority.

- Standards - nationally registered statements of education and training outcomes and their associated performance criteria. See also Unit.

- Standards-based Assessment - assessment which is measured against unit standards.

- Sub-field - a term describing a specific area of education or training at qualification level, corresponding to an ISCED sub-field and defined in the NZQA Standard Classification for Units and Qualifications

- Unit - a unit has two parts:

  - *nationally evaluated and endorsed unit standards registered on the Authority's unit standard database*
  - *delivery details developed by a provider for teaching purposes.*

- ***Delivery*** *- teaching and learning approaches, context and content, resources, and range and number of assessments.*

- ***Element/Outcome*** *- the competencies/achievements which must be demonstrated for successful completion of a unit.*

- ***Unit Standards*** *- nationally registered element/outcome statements and performance criteria, and administrative information.*

- **Unit Accreditation** - accreditation of a provider to offer a specific unit or units.

- **Unit Standards** - nationally registered element/outcome statements and performance criteria, and administrative information.

- **User Group** - all those who derive direct or indirect benefit from a qualification and its component units; generally includes students, qualified individuals, professional associations and employers who may be represented, along with providers, in a national standards body.

FORM 1:

NEW ZEALAND QUALIFICATIONS AUTHORITY

APPLICATION FORM FOR UNIT ACCREDITATION

Please return this application form with the deposit and all required documentation to:

The Manager, Quality Systems

New Zealand Qualifications Authority

Mana Tohu Matauranga o Aotearoa

Box 160

WELLINGTON.

PRINT CLEARLY OR TYPE.

NAME OF INSTITUTION, SCHOOL, ESTABLISHMENT OR ORGANISATION: _____

_____

POSTAL ADDRESS: _____

STREET ADDRESS: _____

_____

TELEPHONE: _____ FAX: _____

NAME AND STATUS OF CONTACT PERSON: _____

POSTAL ADDRESS OF CONTACT PERSON: _____

STREET ADDRESS OF TEACHING PREMISES: _____

TELEPHONE: _____ FAX: _____

NAME OF UNIT(S): _____

_____

_____

_____

_____

_____

PROPOSED STARTING DATE(S): _____

_____

_____

_____

Do you wish brief details of your establishment and the qualifications which it is accredited to offer to be listed with New Zealand embassies and consulates overseas?

Yes/No

SIGNED ON BEHALF OF THE APPLICANT: _____

STATUS OF SIGNATORY: _____

DATE OF SIGNATURE: _____

FORM 2:

NEW ZEALAND QUALIFICATIONS AUTHORITY

APPLICATION FORM FOR GROUP ACCREDITATION

Please return this application form with the deposit and all required documentation to:

The Manager, Quality Systems

New Zealand Qualifications Authority

Mana Tohu Matauranga o Aotearoa

Box 160

WELLINGTON.

PRINT CLEARLY OR TYPE.

NAME OF INSTITUTION, SCHOOL, ESTABLISHMENT OR ORGANISATION: _____

_____

POSTAL ADDRESS: _____

STREET ADDRESS: _____

_____

TELEPHONE: _____ FAX: _____

NAME AND STATUS OF CONTACT PERSON: _____

POSTAL ADDRESS OF CONTACT PERSON: _____ _____

STREET ADDRESS OF TEACHING PREMISES: _____

_____

TELEPHONE: _____ FAX: _____

Details of Sector, Field, Sub-Field, and accreditation level applied for _____

_____

_____

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_____

Do you wish brief details of your establishment and the qualifications which it is accredited to offer to be listed with New Zealand embassies and consulates overseas?

Yes/No

Signed on behalf of the applicant: _____

Status of signatory: _____

Date of signature: _____

NEW ZEALAND QUALIFICATIONS AUTHORITY
Mana Tohu Matauranga o Aotearoa

U-Bix Centre, 79 Taranaki Street, P O Box 160, Wellington, New Zealand
Phone: 04-385-0459, Fax 04-385-4929

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